

**U.S. SECURITIES AND EXCHANGE COMMISSION
PUBLIC NOTICE OF VACANCY**

NUMBER: ESHA-04-002-MB

Opens: January 16, 2004

Closes: February 5, 2004

THIS IS A BARGAINING UNIT POSITION

SECURITIES COMPLIANCE EXAMINER, SK-1831-12/13

Grades/Salaries: SK-12: \$76,348 - \$98,571 per annum **Promotion Potential:** SK-13
SK-13: \$91,486 - \$117,202 per annum **Vacancies:** Multiple

Appointment/Schedule: Career/Career-Conditional **Location:** Division of Market Regulation
Full-Time Office of Broker/Dealer Finances
Office of Risk Assessment
Washington, DC

U.S. Citizenship is required

This position involves travel approximately 2-3 nights per month. Moving Expenses will not be paid

WHAT WORK WILL YOU PERFORM

As a Securities Compliance Examiner, you will:

- Conduct on-site examinations to assess the performance of independent control functions such as market risk management and credit risk management at large securities firms as part of a multidisciplinary team that includes accountant, financial economists, attorneys and securities compliance examiners.
- Review firm policies and procedures on risk governance, such as those relating to market risk management, credit risk management, liquidity and funding risk management, capital commitments, and product control.
- Analyze public and non-public financial information relating to specific broker-dealers and their material affiliates to assess financial strength.
- Interact with Commission personnel in various Divisions and Offices charged with the supervision of the largest and most complex securities firms.
- Interact with other financial regulators, in instances where those regulators have responsibility for entities affiliated with a broker-dealer through a holding company structure.

BENEFITS: SEC provides the following benefits - Thrift Savings Program, Federal Employees' Health Benefits Program, Work Life Programs, Federal Employees' Group Life Insurance Program, Annual and Sick Leave, Long Term Disability, and Flexible Spending Account.

WHAT ARE THE QUALIFICATION REQUIREMENTS

Candidates must meet the Specialized Experience below.

SPECIALIZED EXPERIENCE: Applicant must have one full year (52 weeks) of specialized experience at a level of difficulty equivalent to the next lower grade in the Federal service (e.g., GS/SK-11 for the SK-12 position and GS/SK-12 for the SK-13 position) or equivalent private sector experience. Specialized experience must clearly demonstrate knowledge of: (1) the operations of banks, securities firms, or other financial services firms; (2) accounting theory and current accounting practice in the securities, banking and financial services industry; (3) financial derivatives and the manner in which such products are traded; (4) the theory and practice of financial risk management as practiced in the financial services industry; or (5) the design of management information systems and their application in the financial services sector.

ICTAP ELIGIBLES

If you are a displaced Federal employee, you must attach to the front of your application proof of eligibility such as an SF-50 and/or RIF letter. If you are a displaced Federal employee separated within the local commuting area of the position, your application will be reviewed to determine whether you meet the minimum qualification requirements and, if you are found minimally qualified, then your application will be rated to determine whether you meet the well-qualified criterion established for the position. A well-qualified displaced employee will be referred before any other qualified candidates. ICTAP eligible candidates will be evaluated against the following factor to determine if they are well qualified:

- Knowledge of the theory and practice of financial risk management as currently practiced by securities firms.

HOW TO APPLY

Candidates **MUST** submit:

- A résumé; the Optional Application for Federal Employment; or any other written format of your choice which clearly identifies; 1) The announcement number, title, series, and grade of the job you applied for and 2) Information required in the attached SEC Employment Guide. If you are a Federal employee please be sure to provide your current position title, series, grade and step and date of your last within grade increase or promotion.
- Veterans should provide a copy of a DD-214 verifying honorable military service.
- Where appropriate, transcript (proof of degree with appropriate courses) must be provided by time of interview.

If you do not provide all the information requested, you may lose consideration for this position. None of these forms will be subsequently loaned or returned to applicants.

FILING APPLICATIONS

Applications must be must be postmarked on or before the closing date of the vacancy announcement and received in the U.S. Securities and Exchange Commission, Office of Administrative and Personnel Management, 6432 General Green Way, Alexandria, VA 22312, no later than announced closing date as cited above. For consideration, applicants must meet qualifications on or before closing date of announcement.

WHERE TO SEND APPLICATIONS

*U.S. Securities and Exchange Commission
6432 General Green Way, Mail Stop 0-1
Alexandria, VA 22312
Attention: Charles Coates
Email: CoatesC@sec.gov
Phone: 202-942-4086
FAX: 703-914-0556*

FOR ADDITIONAL VACANCIES THAT MAY BE AVAILABLE VISIT: WWW.SEC.GOV/JOBS.SHTML

Security Clearance: The individual selected may be subject to a security investigation. Favorable results on a Background Investigation may be a condition of employment or selection to another position.

EQUAL EMPLOYMENT OPPORTUNITY

Candidates will be considered without regard to any non-merit reason such as race, color, religion, age, sex, sexual orientation, national origin, or disability. Disabled veterans, individuals with disabilities and veterans eligible for special OPM appointing authorities are strongly encouraged to apply.

SEC provides reasonable accommodations to applicants with disabilities. If you need a reasonable accommodation for any part of the application and hiring process, please notify the agency's Disabilities Coordinator, OAPM. The decision on granting reasonable accommodations will be on a case-by-case basis.

**ESHA JOB POSTING
EMPLOYMENT GUIDE**
U.S. Securities and Exchange Commission
Office of Administrative and Personnel Management (Mail Stop 0-1A)
6432 General Green Way
Alexandria, VA 22312

Thoroughly read this guide and provide all information requested.

The information you give is very important because it will help us determine whether you meet the legal requirements for Federal employment and it allows us to evaluate your qualifications for the position.

**JOB
APPLICATION**

- Apply by submitting a résumé or *Optional Application for Federal Employment* (OF-612).
- Place in the top right corner of each page of your application: job title, grade and job announcement number and geographic location of the position for which you are applying.
- If the job is being advertised at more than one geographic location, a separate application is required for each location.

**LEGAL
REQUIREMENT
S**

- Provide your social security number, name, address, home and office phone numbers.
- United States citizenship is required. You must state in your application that you are a U.S. citizen.
- Males over age 18 born after December 31, 1959 must be registered with the Selective Service System or have an exemption.

**EDUCATION &
TRAINING**

- List any formal education received in an accredited institution. Give full name and address of high school, college, university, law school; type of certificate, diploma, or degree; grade point average; and month, year degree earned (or when you expect to earn your degree).
- You must submit a copy of or the official college transcript if the job announcement requires it.

EXPERIENCE

- List the job title of your position; name and address of employer; and, supervisor's name and telephone number. You must show beginning and ending employment dates in month and year (i.e., March 2000, 3/00 or 3/2003). You must show average hours worked per week and starting, ending and/or present salary.
- Describe (with examples) any work experience related to the specialized experience required by the vacancy announcement. Be explicit about what work you did and what kinds of skills you used in doing it; evaluators of your qualifications cannot read meaning into what you write. Do not assume that the evaluator will understand what work you have done just based on your title, the kind of business you were involved in, or the name of your organization or company.
- **Indicate whether we may contact your present and previous employers.**
- If you are currently or were formerly employed as a civilian in the Federal Government, indicate the highest grade held.

**MANDATORY
SELECTIVE
FACTOR
EVALUATION
PROCEDURES**

- If a mandatory selective factor is present in the job announcement, candidates must meet it in order to be given consideration for the position.
- A Human Resources Specialist will evaluate your application to determine whether you meet the minimum qualifications (and any mandatory selective factor) specified on the vacancy announcement. All minimally qualified candidates will be referred to the selecting official who will make the final hiring decision.

**SPECIAL
SELECTION
PRIORITY**

- This applies only to current or former career or career conditional Federal employees affected by reduction-in-force (RIF). Review your specific RIF notice about your rights and period of eligibility for special priority selection under the Interagency Career Transition Assistance Plan (ICTAP).
- To receive special selection priority as a Federal employee, you must: (1) apply timely for a specific job announcement with no greater promotion potential than the position from which you have been or are being separated; (2) occupy or be displaced from a position in the same

**FILING A JOB
APPLICATION**

**WHERE TO
SEND YOUR
APPLICATION**

local commuting area of the vacancy for which you are requesting priority consideration; (3) have a current (or last) performance rating of record of at least fully successful; and (4) determined to be well-qualified as a displaced Federal employee for the SEC position.

- If you meet the SEC's well-qualified criterion, your application will be referred to the selecting official before any other qualified candidate inside or outside the Federal Government.

You may:

1. Mail your application (or applications if applying for more than one geographic location) through the U.S. Postal Service. Mailed applications must be received by the closing date stated on the announcement.
2. E-mail or fax your application (or applications if applying for more than one geographic location) to the e-mail address or phone number listed on the announcement. Applications must be received by the closing date specified on the announcement.

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